

All State and Area Coordinators,
All Directors of Housing; All
Multifamily Housing Directors

Handbook 4571.2

Fiscal Year 1997 Policy for Capital Advance Authority
Assignments, Instructions and Additional Program Requirements for
the Section 811 Capital Advance Program Section 811 Application
Processing and Selection Instructions, Processing Schedule.

1. PURPOSE. This Notice transmits for Fiscal Year 1997:

- A. Changes to Application/Selection Process
- B. Processing Schedule
- C. State and Area Office Allocations (ATT.1)
- D. Workshop Instructions (ATT.2)
- E. Funding Notification (ATT.3)
- F. Applications Processing and Selections (ATT.4)
- G. Congressional Notification Memorandum Format (ATT.5)
- H. Minority Business Enterprise Goals (ATT.6)
- I. Initial Screening and Review Checklist (ATT.7)
- J. Technical Review Sheets (ATT.8)
- K. Rating Guidelines (ATT.9)
- L. Standard Rating Criteria Form (ATT.10)
- M. Draft Letter to Appropriate State or Local Agency with
Enclosures (ATT.11)

This Notice should be used in conjunction with the Final
Rule (Part 891), the Section 811 Federal Register Notice of Fund
Availability, and Handbook 4571.2 - Section 811 Supportive
Housing for Persons with Disabilities.

2. PROGRAM CHANGES FOR FY 1997

- A. **Bonus points for location of site.** Applications
submitted by Sponsors in which there is satisfactory
evidence of control of an approvable site for a project
that will be located within the boundaries of a
Federally designated Empowerment Zone, Urban
Supplemental Empowerment Zone, Enterprise Community, or
an Urban Enhanced Enterprise Community will be awarded
5 bonus points. This is a change from Fiscal Year 1996
in that the Secretary's Representative will not award
these points and there will not be a review of the
application to determine if the area, as identified
above, has a locally developed strategy area involving
items such as physical improvements, necessary public
facilities and services, private investments and
citizen self-help activities.

If a project is located in more than one of the above categories, the maximum amount of bonus points an application can receive is five (5).

HUD State and Area Offices will include in the Application Package, and provide at the Section 811 Workshop, information about the local community agency for applicants to contact, as well as the internet address (<http://www.caliper.com/hud>), to determine if their proposed projects will be located in a Federally designated Empowerment Zone or Enterprise Community.

- B. **Secretary's Representative** - The Secretary's Representative, or the Secretary's Representative in conjunction with the State/Area Coordinator, can award up to five (5) points to each application based on the extent of local government support for the project.

The points must be documented in a memorandum from the Secretary's Representative or the Secretary's Representative and the State/Area Coordinator to the Director, Multifamily Division. (See Attachment 9 to this Notice.) The Secretary's Representative may not delegate this responsibility.

- C. **Environmental Site Assessment** - In conformance with 24 CFR, Section 50.3(i), as revised (October 28, 1996), all Sponsors who have site control for their proposed projects are required to submit a Phase I Environmental Site Assessment of their proposed site(s) with their applications. The Transaction Screen Process is no longer an application requirement for Sponsors who have site control. The Phase I Environmental Site Assessment is to be completed in accordance with the American Society for Testing and Material (ASTM), Standards E 1527-93, as amended. Sponsors submitting applications with identified sites (i.e., not under control) who are selected for funding are required to complete the Phase I Environmental Site Assessment upon obtaining site control and prior to submitting their Application for Firm Commitment.

If the Phase I study indicates the possible presence of contamination and/or hazards, further study must be undertaken. At this point, the Sponsor must decide whether to continue with this site or choose another site. Should the Sponsor choose another site, the same environmental site assessment procedure identified above must be followed for that site. Since the Phase I studies must be completed and submitted with the

application, it is important that the Sponsor start the site assessment process as soon after NOFA publication as possible.

If the Sponsor chooses to continue with the original site on which the Phase I study indicated possible contamination or hazards, then a detailed Phase II Environmental Site Assessment by an appropriate professional will have to be undertaken. NOTE: THE COST OF THE STUDY WOULD BE BORNE BY THE SPONSOR IF THE APPLICATION IS NOT SELECTED. If the Phase II Assessment reveals site contamination, the extent of the contamination and a plan for clean-up of the site must be submitted to the local State or Area Office. The plan for clean-up must include a contract for remediation of the problem(s) and an approval letter from the applicable Federal, State, and/or local agency with jurisdiction over the site. The Phase II Assessment and the plan for clean-up including the contract for remediation (if appropriate) must be submitted to the local State or Area Office no later than 30 days after the application submission deadline date. **NOTE: THIS COULD BE AN EXPENSIVE UNDERTAKING. THE COST OF ANY CLEANUP AND/OR REMEDIATION MUST BE BORNE BY THE SPONSOR.**

To be considered valid, no more than 6 months can elapse after completion of the Phase I study. If the Phase I is more than 6 months old, the preparer must update the environmental site assessment. If there have been no changes since the previous assessment, the preparer must certify to same.

If the Phase I study is not included in the application submission, it must be requested during the deficiency period. Since the Phase I document is not identified in the NOFA as a document that has to be executed by the application deadline date, it can be executed during the deficiency period. However, if Phase I indicates that a Phase II study is required and that study reveals site contamination, then the extent of the contamination and the plan for clean-up (as identified in Section III.B.4.(e)(1)(vi) of the Section 811 NOFA) must be submitted to HUD no later than 30 days after the application submission deadline date. If the Sponsor does not submit the required information by that date, the site is rejected and the application must be considered a "site identified" application.

- D. **Historic Preservation.** Sponsors are to submit with their applications a letter from the State Historic Preservation Officer stating whether the proposed site(s) has historic significance. This information will assist HUD in the timely completion of its environmental review.
- E. **Suitability of the site from the standpoint of promoting a greater choice of housing opportunities for minority persons with disabilities.** In accordance with the Secretary's December 16, 1996 memorandum that requires NOFAs to include a selection factor addressing affirmatively furthering fair housing, the application submission requirement responding to this criterion has been broadened to include a narrative description of how the Sponsor will use the site(s) to affirmatively further fair housing opportunities for minority persons with disabilities.
- F. **Threshold score.** The threshold score for an application to be eligible for selection is 60 **base** points. (The threshold score does not include bonus points.)
- G. **Bonus points for involvement of persons with disabilities in the development of the application and in the development and operation of the project.** As in Fiscal Year 1996, 5 bonus points will be provided to applications where the Sponsor has involved persons with disabilities (including minority persons with disabilities and persons with disabilities similar to those of the prospective residents) in the development of the application as well as in the development and operation of the project. The involvement must be from persons with disabilities; not family members acting on their behalf. Guidelines for rating this criterion for bonus points have been added this year.
- H. **Financial management capability of Sponsor.** When rating the Sponsor's experience in providing housing or related services to those proposed to be served by the project, the Sponsor's financial management capability must also be considered when comparing the scope of the proposed project to its demonstrated development and management capacity.
- I. **Restricted occupancy.** Sponsors proposing to limit occupancy to a subcategory of one of the three main disability categories (physically disabled, developmentally disabled, chronically mentally ill)

(e.g., people with autism which is a subcategory of developmentally disabled), are now required to submit more detailed information in their Supportive Service Plans in order for HUD to determine whether approval is justified. Such information includes: 1) a description of the population to which occupancy will be limited, 2) an explanation of why it is necessary to limit occupancy, 3) how restricted occupancy will promote the goals of the Section 811 program, 4) why the needs of the proposed occupants cannot be met in a more integrated setting, 5) a description of the Sponsor's experience in providing housing and/or supportive services to the proposed occupants, and 6) a description of how the Sponsor will ensure that the occupants will be integrated into the neighborhood and surrounding community.

The Multifamily Housing Representative (MHR) will be responsible for reviewing requests for restricted occupancy and the MHR Technical Review Sheet has been modified accordingly. If the MHR determines that approval of restricted occupancy is justified, a memorandum to the file shall be developed for the signature of the Multifamily Division Director (See instructions in ATTACHMENT 8 for approval language) and attached to the MHR Technical Review Sheet. If the Sponsor is selected for funding, the Notification of Selection Letter must include the information in the Multifamily Division Director's approval memorandum.

- J. **Residents' choice in Supportive Services Plan.** Instead of providing Sponsors with the opportunity to decide which type of Supportive Services Plan to develop (i.e., one that is designed to either have the residents take responsibility for choosing and acquiring their own services or one where the Sponsor would be responsible for providing the supportive services), the Sponsor must design a Supportive Services Plan that gives the choice to the residents by providing both options. Since Sponsors may not require potential residents to accept any supportive services as a condition of occupancy, such a Supportive Services Plan will offer maximum choice for residents while meeting the statutory requirement that Section 811 housing provide supportive services that address the individual health, mental health, and other needs of the residents.
- K. **Project size limits.** The following changes have been made regarding project size limits:

- 1) The maximum number of people with disabilities that can be housed has been reduced to six (6) people in a group home and 18 people in an independent living facility. The corresponding development cost limits for the larger group homes have been eliminated from the NOFA. The limits have been reduced because, in many States, funding for supportive services will not be provided to persons with disabilities living in larger housing developments. Sponsors may still request approval to exceed the project size limits.
- 2) Sponsors requesting approval to exceed the project size limits must provide (in addition to the information required in FY96) documentation (e.g., results of a written or verbal survey) that people with disabilities similar to those of the prospective residents of the proposed project(s) have indicated acceptance of and/or a preference to living in housing with as many people with disabilities as proposed for the project(s).
- 3) Although the elimination of the upper limit for exceptions to project size limits remains the policy for FY97, State and Area Offices should be extremely cautious in approving exceptions to project size limits that would exceed the 15 person limit for a group home and the 40 person limit for an independent living facility outlined in Handbook 4571.2.

L. **Single Occupancy Bedrooms in Group Homes.** Sponsors proposing to develop a group home may no longer require residents to share a bedroom unless a resident indicates a preference or need to share a bedroom with another resident.

M. **Intermediate Care Facilities (ICFs) are no longer eligible.** Sponsors may no longer propose the development of an ICF. On a nationwide basis, the Department has received very few applications proposing an ICF over the last several years. Therefore, due to the quasi-institutional nature of an ICF which is contrary to programmatic goals, the Department decided to eliminate its eligibility for development under the program.

N. **Change in definition of minority sponsor.** In conformance with 60 FR 46159, September 5, 1995, section 2452.226-70, Hasidic Jewish has been deleted from the definition of minority sponsor.

3. **CHANGES PURSUANT TO THE APPROPRIATIONS ACT OF 1997:** In accordance with the waiver authority provided in the Fiscal Year 1997 Appropriations Act, the Secretary is extending the following determination made in the Notice, published in 61 F.R. 3047, and in the Fiscal Year 1996 Section 811 NOFA, to Fiscal Year 1997 funding by waiving the statutory and regulatory provisions governing the amount and term of the PRAC.

Project rental assistance funds will be reserved based on **75 percent** of the current operating cost standards to support the units selected for capital advances sufficient for a minimum **five-year** project rental assistance contract term and a maximum project rental assistance contract term which can be supported by funds authorized by the Appropriations Act of 1997. The Department anticipates that at the end of the contract term, renewals will be approved depending upon the availability of funds. **PLEASE NOTE THAT THE WAIVER BROADENING THE ELIGIBILITY OF TENANTS TO PERSONS WITH INCOMES AT 80 PERCENT OF THE MEDIAN OR BELOW (61 F.R. 3047, JANUARY 30, 1996) IS NOT BEING EXTENDED TO THE PROJECTS FUNDED IN ACCORDANCE WITH THE FISCAL YEAR 1997 SECTION 811 NOFA. THE STATUTORY PROVISION LIMITING ELIGIBILITY TO PERSONS WITH INCOMES AT 50 PERCENT OF THE MEDIAN OR BELOW REMAINS IN EFFECT.**

4. **FISCAL YEARS 1995 AND 1996 CHANGES STILL IN EFFECT:**

- A. **Revised selection process.** During the selection process, rating panels must select for funding, ranked applications in descending order which most reasonably approximate the number of units and capital advance funds available to each HUD Office. The selection panels must select in rank order down to the next highest rated application that can utilize the remaining funds **WITHOUT** skipping over a higher rated application.

After making the initial selections, any residual funds may be utilized to fund the next rank-ordered application by reducing the units by no more than 10 percent rounded to the nearest whole number; provided the reduction will not render the project infeasible. Projects of nine units or less may not be reduced. An example of a project becoming infeasible by a unit reduction is a project that will be rehabilitated, for which the Sponsor has site control, where the project will not be able to sustain fewer units than those requested. Acceptance by a Sponsor of a project where the units have been reduced means acceptance of the reduced number of units.

Funds remaining after this process is completed will be returned to Headquarters. These funds will be used first to restore units to projects that were reduced by HUD State and Area Offices based on the instructions above and, second, for selecting additional applications on a national rank order. However, no more than one application will be selected per HUD Office from the national residual amount unless there are insufficient approvable applications in other HUD Offices. If funds still remain, additional applications will be selected based on a national rank order, insuring an equitable distribution among HUD Offices. In other words, after Headquarters selects one additional application per HUD Office, it will then select a second application per HUD Office, then a third and so on depending upon the amount of residual funds.

- B. **Sponsor as consultant.** The Sponsor may also serve as a consultant to the project. In Section 891.130(a)(2)(iii) of the final rule for the Section 811 program, it states that developer (consultant) contracts between the Owner and the Sponsor or the Sponsor's nonprofit affiliate will not constitute a conflict of interest if no more than two persons salaried by the Sponsor or management affiliate serve as nonvoting directors on the Owner's board of directors.
- C. **Limit on amendments.** Per Section 891.100(d) of the final rule for the Section 811 program, fund reservations may be amended only after initial closing, subject to the availability of funds. This change must be emphasized to Sponsors so that as they plan their projects they will be aware that they need to keep the cost of the project within the fund reservation amount. Should the cost exceed the fund reservation amount, it may be necessary for Sponsors/Owners to seek outside funding sources to cover any additional expenses.
- D. **Limit on fund reservation extensions.** Section 891.165 of the final rule for the Section 811 program permits fund reservations to be extended up to 24 months on a limited case-by-case basis. This approval will be made at the State and Area Office level.
- E. **Application requirement regarding the Sponsor's experience in providing opportunities for minority and women-owned business enterprises participation.** Sponsors will no longer be rated on the scope, extent and quality of their experience in providing

opportunities for minority- and women-owned business enterprises participation. However, Sponsors must still describe their experience in contracting with minority- and women-owned businesses over the last three years; as well as their experience in contracting with small businesses and businesses owned by persons with disabilities. In addition, they must provide information about their participation in joint ventures by describing the joint venture, the partners involved and the Sponsor's involvement.

- F. **Tenant-based assistance.** Twenty-five percent of the Section 811 appropriations will be used for tenant-based assistance to be administered through Public Housing Agencies. A separate Notice of Funding Availability for the 25 percent was published in the Federal Register on April 10, 1997.
- G. **Relaxation of site location requirements.** Under Section 891.320(b) of the final rule for the Section 811 program, the site and neighborhood standards were revised to provide more flexibility to the site location requirements for Section 811 housing. The final rule now indicates that Section 811 housing should, rather than must, be located where other family housing is located and should not, rather than must not, be located adjacent to or in areas concentrated by: schools or day-care centers for persons with disabilities, workshops, medical facilities, or other housing primarily serving persons with disabilities. State and Area Offices will make these determinations and must ensure that, in doing so, the selected site will facilitate the integration of persons with disabilities into the surrounding community. The requirement that two group homes not be next to each other remains in Section 891.320(b), since the prohibition is statutory.
- H. **Sponsors cannot require residents to accept supportive services.** Sponsors must certify in their applications that they will **not** require residents to accept any supportive services as a condition of occupancy. Although the acceptance of services has never been a program requirement it has come to the Department's attention that in many cases residents have been required to accept services in order to live in housing for persons with disabilities developed under either the old Section 202 program or the Section 811 program.
- I. **Scattered site applications.** If Sponsors are applying

for a scattered site project consisting of different project types (e.g., group home and independent living facility) they may do so in one application. In order to come up with an overall rating for the rating criteria pertaining to the need for supportive housing in the area and the suitability of the site, each site is to be rated separately and then the scores averaged.

- J. **Experience with integrated housing developments.** When describing any rental housing projects sponsored, owned and operated by the Sponsor as part of the description of its housing and/or supportive services experience, the Sponsor should include its experience with integrated housing developments (i.e., persons with/without disabilities living in the same project/building).
- K. **Contact for agency providing independent living services.** The State Independent Living Council and the local Center for Independent Living must be included on the list of State and local agency contacts provided to Sponsors for submission of the Supportive Services Plan of their applications.
- L. **Restrictions removed from acquisition projects.** In Section 891.305 of the final rule, the definition of "acquisition" was revised. The restriction to group homes and Resolution Trust Corporation properties was removed so that any housing type may now be acquired. The restriction to properties that are at least three years old was also removed.
- M. **Composition of Sponsors' boards.** Applications submitted by Sponsors whose boards are comprised of at least 51% persons with disabilities (including persons with disabilities similar to those of the prospective residents) will be awarded 5 bonus points. The actual person with a disability must be on the board to qualify; family members acting on behalf of a person with a disability would not qualify.
- N. **Elimination of Regional Office Role** - The modifications outlined in Attachment 4 of this Notice eliminate the role of the Regional Offices in the selection process.
- O. **Minimum project sizes** - The minimum size of a group home is three persons with disabilities, excluding any resident manager. When applying for independent living units (e.g., apartment units, condominium units), the minimum number of units per structure is one (1).

However, a Sponsor must apply for at least five (5) independent living units, either singularly or in any combination of units, per application.

- P. **Site Issues** - Applications containing satisfactory evidence of control of an approvable site will be awarded 10 bonus points.

To receive the 10 bonus points, Sponsors proposing scattered site projects must provide acceptable evidence of site control for ALL proposed sites, which must be found approvable, upon completion of environmental reviews.

Sponsors submitting applications with site control where the site or the evidence is found unacceptable will not receive the bonus points. However, the application will still be processed provided the Sponsors indicated in their applications that they would be willing to seek alternate sites. If only the evidence is found unacceptable, the Sponsor may still receive points for Criteria 2 (b) and (c). However, if the site is found to be unacceptable, the application is not to be awarded any points for Criteria 2 (b) and (c).

Sites under control and sites identified will be evaluated using the same review factors. However, applications with sites identified will have to specifically include information on how the site will promote greater housing opportunities for minorities, affirmatively further fair housing and any other information on the suitability of the site for persons with disabilities.

If, in the case of a site identified, the evidence provided in the site description is not sufficient to lead to the conclusion that the Sponsor will have site control within six months, the application will be rejected.

Sponsors must provide the specific street address of the site, even if it is an identified site. If the Sponsor proposes one or more condominium units, the unit number(s) must also be provided.

Sites that are identified (not under control of the Sponsor) are NOT to receive an environmental review. However, if the State or Area Office happens to have certain knowledge about an identified site that would

result in rejection of the site, (e.g., it is located in a community that is already impacted with assisted housing), the application is to be rejected on the basis that it is unlikely that the Sponsor will be able to obtain control of an approvable site within six months of fund reservation. The reason for treating Sponsors who submit applications with site control where the site is unacceptable differently from Sponsors who submit applications with identified sites where the site is unacceptable, is that the Department can be more reasonably assured that Sponsors who were able to obtain site control during the application preparation period will be able to obtain site control within six months of fund reservation than are Sponsors who were only able to identify sites during this period. The statute requires that the Department have "reasonable assurances that the applicant will own or have control of an acceptable site for the proposed housing not later than six months after notification of an award for assistance".

- Q. **Supportive Services.** The Sponsor is required to submit the Supportive Services Plan of its application to the appropriate State or local agency in order for the agency to complete the Supportive Services Certification which is required to be a part of the Sponsor's application to HUD. The Supportive Services Certification provides HUD with information about whether or not an application's proposed provision of supportive services is well designed to serve the special needs of persons with disabilities. Furthermore, it indicates whether the proposed housing is consistent with State or local policies or plans governing the development and operation of housing to serve individuals of the proposed occupancy category. In addition to these two items, the appropriate State or local agency will indicate on the Supportive Services Certification whether or not the Sponsor demonstrated that the necessary supportive services will be provided on a consistent, long-term basis.

There are no points assigned to the Supportive Services Plan. However, the application must be rejected if the Supportive Services Plan and/or Supportive Services Certification is missing and is not received during the deficiency period (if the Certification is received during the deficiency period it does not have to be dated prior to the application deadline date) or if the Certification indicates one or more of the following:

- 1) the provision of supportive services is not well

designed, 2) the housing is inconsistent with State or local policies or plans governing the development and operation of housing to serve the proposed population provided the agency making this determination will be a primary funding or referral source for the project or is required to license the project, or 3) supportive services will not be provided on a consistent, long-term basis.

Sponsors must be reminded to send their Supportive Services Plans to the appropriate State or local agency in ample time so that the agency can review them, complete the Supportive Services Certifications and return them to the Sponsors for inclusion in their applications to HUD.

- R. **Elimination of upper limit for exceptions to project size limits for Section 811 applications** - There is no upper limit on exceptions to project size limits for group homes or independent living facilities. Requests for exceptions to the project size limits will be considered on a case-by-case basis following the criteria outlined in the NOFA. In considering requests for an exception to the project size limits, State and Area Offices need to ensure that the program goal of integration is not compromised. (See Section IV. D. of the NOFA for project size limits.)
- S. **Applicant Eligibility** - Section 603 of the Housing and Community Development Act of 1992 (HCD Act of 1992) amended Section 811 of the NAHA by expanding the definition of private nonprofit organization in Section 811(k)(6) to include public and unincorporated institutions or foundations. It also requires such sponsoring organizations to have received tax-exempt status under section 501(c)(3) of the Internal Revenue Service Code of 1986. (Temporary clearance to receive section 501(c)(3) tax-exempt status is not permissible.) The same requirements apply to the Owner except that the Owner must be incorporated.
- T. **Davis-Bacon Act** - Davis-Bacon Labor standards apply to housing containing 12 or more units. Since a group home is considered as one unit, the labor standards do not apply. Group homes funded in Fiscal Year 1997 will not be covered by the labor standards. Independent living facilities with 12 or more units **are** covered by the standards.
- U. **Lead-Based Paint** - The requirements of the Lead-Based

Paint Poisoning Prevention Act (42 U.S.C. 4821-4846) and implementing regulations at 24 CFR part 35 (except as superseded in paragraph (b) of 891.325) apply to all Section 811 dwelling units (except zero-bedroom dwelling units and units certified by a qualified inspector to be free of lead-based paint or the lead-based paint hazards have been eliminated).

5. **SITES LOCATED IN FLOODPLAINS:** Due to the length of the review process required for all sites that are located in floodplains (see Attachment 4, paragraph A.5.), HUD State and Area Offices may not be able to complete their reviews in time for the applications to be considered for funding. Therefore, Sponsors should take this into consideration when selecting project sites and try to locate sites that are not in floodplains.
6. **SUBMISSIONS TO HEADQUARTERS:** State and Area Offices will submit the following to Headquarters: (1) a list of initial selections, (2) a list of approvable but unfunded applications, (3) a list of applications that scored less than 60 base points, (4) a transmittal memorandum, (5) a recap sheet of the funds being allocated and awarded, and (6) congressional notification memoranda. At the same time, Offices are to submit the 718's and PAD's to the Office of the Comptroller, Field Accounting Division. These actions must be completed by September 16, 1997. **NOTE: IF ANY PROJECT WAS REDUCED BY UP TO 10 PERCENT SO IT COULD BE FUNDED FROM RESIDUAL FUNDS, PLEASE IDENTIFY PROJECT ON THE SELECTION LIST AND IN YOUR TRANSMITTAL MEMORANDUM. ALSO, INCLUDE IN THE TRANSMITTAL MEMO THE NUMBER OF UNITS REDUCED AND THE AMOUNT OF CAPITAL ADVANCE AND PRAC FUNDS NEEDED TO RESTORE THE UNITS TO THE PROJECT.**
7. **FISCAL YEAR 1997 CAPITAL ADVANCE AUTHORITY ASSIGNMENTS:**
 - A. Fair Share Factors. Although not subject to the Section 213(d) requirements, a formula is still used for allocating Section 811 funds. The allocation formula was developed to reflect the "relevant characteristics of prospective program participants", as specified in 24 CFR 791.402(a).

The FY 1997 formula for allocating Section 811 capital advance funds consists of two data elements from the 1990 Decennial Census: (1) the number of non-institutionalized persons age 16 or older with a work disability and a mobility or self-care limitation and (2) the number of non-institutionalized persons age 16

or older having a mobility or self-care limitation but having no work disability.

Formula Calculation Procedures

The data elements were compiled for every State or State portion of each State or Area Office jurisdiction taken as a percent of the sum of the two elements for the total United States. The basic factors were adjusted to take into consideration the relative differences in the costs of providing housing among the Offices' jurisdictions. The adjusted needs percentage for each Office is then multiplied by the total amount of capital advance funds available nationwide.

B. Program Fund Assignments.

The issuance of the HUD-185, Regional Fund and Contract Authority Assignment, and the subsequent subassignment by the Region (HUD-185.1) will be made when all of the selections for the FY 1997 program are finalized.

8. STATE AND AREA OFFICE ALLOCATIONS:

A. Allocation of Funds.

The allocations for Section 811 housing for persons with disabilities are not subject to the Section 213(d) requirements including the control on nonmetro funding and the requirement for a formula allocation. Accordingly, there will not be any division of funding between metro and nonmetro areas. We will, however, continue funding the program on a formula basis.

In accordance with 24 CFR part 791, the Assistant Secretary has allocated the amounts available for capital advances for supportive housing for persons with disabilities for Fiscal Year 1997. (see Attachment 1.)

B. Project Rental Assistance Contract Funds. The Department reserves project rental assistance contract funds for five years consistent with current operating cost standards.

C. State and Area Office Funding Notifications. This paragraph expands on Paragraph 2-1 of Handbook 4571.2. All Offices shall issue Funding Notifications for Section 811 in accordance with this paragraph and the above Handbook reference. See Attachments 2 and 3 of this Notice for Section 811 Funding Notification

instructions and format.

The funding notification format shall be used by all Offices with no deviations.

Although previous advertising requirements have been eliminated, Offices must notify potential applicants by following the instructions in Handbook 4571.2 and Attachment 3 of this Notice.

9. **CONSOLIDATED PLAN CERTIFICATION:** Each applicant is to submit a certification by the jurisdiction in which the proposed project is to be located that the application is consistent with the jurisdiction's HUD-approved Consolidated Plan for FY 1997. The certification is to be signed by the unit of general local government if it is required to have, or has, a complete Consolidated Plan. Otherwise, the certification may be made by the State, or if the project will be located within the jurisdiction of a unit of general local government authorized to use an abbreviated strategy, by the unit of general local government if it is willing to prepare such a plan.

All Consolidated Plan Certifications must be made by the public official responsible for submitting the plan to HUD.

All plan certifications must be submitted as part of the application by the application submission deadline set forth in the NOFA. The Plan regulations are published in 24 CFR Part 91.

10. **WORKSHOPS:** To the extent possible, experienced program and technical staff should conduct the workshops to provide guidance, particularly for new program participants. Since first time applicants may have difficulty with the complexity of the Section 811 program, offices are urged to conduct pre-workshops (to be held prior to the start of the regularly scheduled session) for first time applicants. These applicants should attend the pre-workshop and remain for the regular session.

Particular emphasis should be placed on the new requirements for the Fiscal Year 1997 program.

11. **REPORTING:** In Fiscal Year 1996, State and Area Offices were sent instructions and a Data Diskette containing a DBASE III Plus file structured to record all required information for FY 1996 projects. The Diskette contained files configured to print out the three lists (i.e., (1) initial selections, (2) approvable, but unfunded, applications, and (3) applications which failed to meet the threshold score of

60 points). Offices are to reuse the diskette with the FY 1997 Section 811 database file to be sent via E-mail. Instructions on how to copy the file will be provided when the file is transmitted.

12. **MINORITY BUSINESS ENTERPRISE GOALS:** The Department encourages participation by the Minority Business Enterprise (MBE) sector in HUD programs and establishes MBE goals each fiscal year. Therefore, MBE goals (expressed in dollars and units) have been established for the Section 811 FY 1997 funding round as set forth in Attachment 6. These goals do not affect the rating of Section 811 applications. A minority Sponsor is one in which more than 50 percent of the board members are minority (i.e., Black, Hispanic, Native American, Asian Pacific, or Asian Indian). Offices are expected to encourage participation by minority Sponsors.
13. **NOTIFICATION TO PROGRAM APPLICANTS:** A copy of this Notice shall be included in all Application Packages. Sponsors must be advised that all applications submitted under the FY 1997 program must be in conformance with this Notice as well as the Federal Register Section 811 Notice of Fund Availability, Regulations, Handbooks and State and Area Office Funding Notifications.

To this end, Fiscal Year 1997 applications must follow the format provided in the Section 811 Application Package, which is in accordance with the Paperwork Reduction Act of 1980 (P.L. 96-511).

14. **PROCESSING SCHEDULE:**

In accordance with the schedule included in the Notice of Fund Availability published in the Federal Register, the following processing schedule has been developed. It is not mandatory that Offices maintain dates in this schedule. However, the underscored dates and actions are specific deadlines which must be met:

<u>Application Deadline</u>	<u>July 28, 1997</u>
Initial Screening Completed and Deficiency Letters Mailed	July 31, 1997
<u>Expiration of 8-day period for submission of missing application items</u>	Aug. 7, 1997
Notification of Technical rejects	Aug. 24, 1997
<u>End of 10 day appeal period for Technical Rejects</u>	Sept. 2, 1997

State and Area Offices submit lists of selections, final selection data diskette, transmittal memorandum and other approvable applications to Headquarters. State and Area Offices submit Congressional Notification Memorandum to Office of Congressional Relations, Headquarters and submit 718's and PAD's to appropriate location Sept. 16, 1997

Funding Announcements Completed Sept. 30, 1997

15. RELEASE OF SECTION 811 RATINGS AND RANKINGS:

Release of information regarding selections or nonselections is prohibited until after funding announcements are made. State and Area Offices may not release selection letters until authorized to do so by Headquarters. It is the policy of the Department to operate an open selection system. Release of rating and ranking information to Section 811 applicants or their authorized representatives is permitted, but only after the release of selection letters. If rating sheets or technical review and findings memoranda are requested, they may also be released. However, the name of the reviewer may be deleted from the copy released to the applicant.

The above information may also be released to any member of the public requesting such information under the Freedom of Information Act (FOIA).

- 16. HUD REFORM ACT PROVISIONS:** As required by the HUD Reform Act, the Department will publish the funding decisions in the Federal Register at the conclusion of the funding cycle. State and Area Office staff also are reminded that the HUD Reform Act prohibits advance disclosure of funding decisions. Also see 24 CFR Part 4.

- 17. UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION ACT (URA):** It is imperative that the following information be covered at the workshops:

In addition to complying with the URA, Sponsors must be reminded of its site acquisition provisions. These provisions apply to the acquisition of sites with or without existing structures. The implementing instructions regarding site acquisition under the URA are contained in Chapter 5 of HUD Handbook 1378, Tenant Assistance,

Relocation and Real Property Acquisition.

Sponsors that do not have the power of eminent domain are exempt from compliance with the site acquisition requirements of the URA under certain conditions. The site acquisition requirements do not apply to the above Sponsors if, prior to entering into a contract of sale or any other method of obtaining site control, the Sponsor informs the seller of the land:

- A. That it does not have the power of eminent domain and, therefore, will not acquire the property if negotiations fail to result in an amicable agreement; and
- B. Of its estimate of the fair market value of the property. An appraisal is not required; however, the Sponsor's files must include an explanation, with reasonable evidence, of the basis for the estimate.

In those cases, prior to submission of an application for a fund reservation, where there are existing contracts or options and Sponsors did not provide the pre-contractual notifications to the sellers, the Sponsor must provide the notification after-the-fact and give the seller an opportunity to withdraw from the contract/option. All Section 811 applications for fund reservations that are filed in response to the Fiscal Year 1997 NOFA must be in compliance with the above.

Sponsors participating in the Section 811 program that have the power of eminent domain must fully comply with the URA.

18. **PRIOR SUCCESSFUL APPLICANTS:** Sponsors applying for a Section 811 fund reservation who have received a Section 811 fund reservation within the last three funding cycles are NOT required to submit the following:

- Articles of Incorporation, constitution, or other organizational documents;
- By-laws;
- IRS tax exemption ruling

Instead, these Sponsors must submit the project number of the last Section 811 application selected and the State or Area Office to which it was submitted. If there have been any modifications or additions to the subject documents, Sponsors must indicate such, and submit the new material.

19. **APPLICATION PACKAGES:** Application Packages can be obtained from the Multifamily Housing Clearinghouse, Post Office Box 6424, Rockville, Maryland 20850, 1-800-685-8470 (the TDD number is 1-800-483-2209), by contacting the appropriate State or Area HUD Office, or accessed under "Development" on the HUD Homepage on the Internet at <http://www.hud.gov/fha/fhamf.html>. A checklist of steps and exhibits involved in the application process is included in the Application Package.

Programmatic questions concerning the FY 1997 Section 811 program may be discussed with the New Products Division within the Office of Multifamily Housing Development in Headquarters at 202-708-2866. Questions concerning the Field Office Multifamily National System (FOMNS) should be directed to Eva Lantz, Program Support Staff, (FTS 202-708-4135 extension 2463).

Questions concerning Section 811 Capital Advance or Project Rental Assistance Contract Authority should be directed to the Funding Control Division (FTS 202-708-2750).

Assistant Secretary for Housing -
Federal Housing Commissioner

Attachments

**Fiscal Year 1997 Allocations for Supportive Housing for Persons
with Disabilities
[Fiscal Year 1997 Section 811 Allocations]**

Office	Capital Advance Authority	Units
New England:		
Massachusetts	1,760,484	23
Connecticut	1,304,199	17
New Hampshire	623,105	10
Rhode Island	775,704	10
Total	4,463,492	60
New York/New Jersey:		
New York	3,760,413	48
Buffalo	1,472,240	20
Newark	2,230,026	29
Total	7,462,679	97
Mid-Atlantic:		
Maryland	1,175,695	18
West Virginia	961,713	16
Pennsylvania	2,267,878	31
Pittsburgh	1,285,018	20
Virginia	1,089,612	20
D.C.	1,230,690	18
Total	8,010,606	123
Southeast/Caribbean:		
Georgia	1,469,222	26
Alabama	1,226,365	22
Caribbean	1,553,987	20
South Carolina	1,173,059	20
North Carolina	1,903,273	27

Office	Capital Advance Authority	Units
Mississippi	966,271	19
Jacksonville	2,679,429	45
Kentucky	1,202,854	20
Knoxville	837,851	16
Tennessee	919,871	17
Total	13,932,182	232
Midwest:		
Illinois	2,791,293	36
Cincinnati	948,806	16
Cleveland	1,551,613	23
Ohio	947,399	16
Michigan	1,795,591	26
Grand Rapids	581,778	10
Indiana	1,355,506	22
Wisconsin	1,251,414	18
Minnesota	1,206,022	17
Total	12,429,422	184
Southwest:		
Texas/New Mexico	1,594,725	29
Houston	1,157,042	21
Arkansas	849,164	17
Louisiana	1,169,249	22
Oklahoma	920,315	17
San Antonio	1,028,659	20
Total	6,719,154	126
Great Plains:		
Iowa	568,850	10
Kansas/Missouri	1,092,921	19

Office	Capital Advance Authority	Units
Nebraska	552,689	10
St. Louis	1,165,599	18
Total	3,380,059	57
Rocky Mountain:		
Colorado	1,277,277	21
Total	1,277,277	21
Pacific/Hawaii:		
Hawaii (Guam)	1,163,556	10
Los Angeles	3,897,954	51
Arizona	950,760	17
Sacramento	759,544	10
California	2,348,425	31
Total	9,120,239	119
Northwest/Alaska:		
Alaska	1,163,556	10
Oregon	1,112,336	17
Washington	1,255,089	18
Total	3,530,981	45
National Total	70,326,091	1,064

SECTION 811 WORKSHOP INSTRUCTIONS

The State or Area Office will send a copy of the Notice of Fund Availability, Funding Notification and information regarding the date, time and place of the workshop (Attachment 3) to the following:

- Disabled and minority media, and minority and other organizations involved in housing and community development within the Office's jurisdiction;
- Groups with a special interest in housing for persons with disabilities, including State and local disability agencies (e.g., Department of Mental Health and Developmental Disabilities); State Independent Living Councils and Centers for Independent Living;
- The applicable State single point of contact (Executive Order 12372) and chief executive officers of appropriate units of State/local government in all instances where there is a Consolidated Plan.

In addition, the following must be notified, where feasible:

- Trade association journals;
- Associations representing persons with disabilities;
- State agencies, such as departments of human resources;
- Fair housing groups (the names and addresses of such organizations and groups shall be provided to the PC&R staff by the Equal Opportunity Division Directors).

FUNDING NOTIFICATION FOR FISCAL YEAR 1997
SECTION 811 SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES
CAPITAL ADVANCE PROGRAM

The Department of Housing and Urban Development will accept applications from nonprofit organizations for rental or cooperative housing under the Section 811 Capital Advance Program for Supportive Housing for Persons with Disabilities subject to the following:

<u>Units</u>	<u>Capital Advance</u>
_____	\$ _____

This represents the funding available for the _____ Office. Applicants must not request more units than available.

Appropriate filing information is contained in an Application Package which may be obtained from the Multifamily Housing Clearinghouse, Post Office Box 6424, Rockville, Maryland 20850, 1-800-685-8470 (TDD: 1-800-483-2209); or from _____

(State or Area Office Address)

; or on the Internet by accessing "Development" under the HUD Homepage at <http://www.hud.gov/fha/fhamf.html>.

This office will conduct a workshop on _____ (date) at _____ (time) for interested applicants to explain the Section 811 program, to distribute Application Packages and to discuss application procedures. The facility for the workshop is accessible to individuals with disabilities. The VOICE/TDD telephone number is _____.

APPLICATIONS MUST BE RECEIVED BY (TIME) AND (DATE). IF MAILED, APPLICATIONS MUST BE RECEIVED IN STATE OR AREA OFFICE NO LATER THAN THE FOREGOING DEADLINE. APPLICATIONS RECEIVED AFTER THE TIME AND DATE SPECIFIED WILL NOT BE ACCEPTED.

Fiscal Year 1997 Policy for Section 811 Application Processing
and Selections

The modifications outlined below eliminate the need for technical review documents being forwarded to Headquarters for review.

Selection lists, lists of unfunded but approvable applications and lists of applications that received base scores below 60 are still to be submitted to Headquarters prior to completion of the selection and announcement process.

Residual funds not used by State and Area Offices shall be identified in the transmittal memorandum to accompany the above lists. These funds will be recaptured by Headquarters and will be used to restore units, where possible, to projects that had units reduced in order to be selected and to fund additional applications based on a national rank order.

Headquarters will coordinate Congressional notification of selected applicants with the Office of Congressional and Intergovernmental Relations based upon Congressional Notification Memoranda completed by State and Area Offices. See Attachment 5 for current Congressional Notification Memorandum format.

Responsibility for notifying State Points of Contact of nonaccommodations has been transferred from Headquarters to the State and Area Offices.

REVISED REVIEW, RATING AND SELECTION PROCEDURES

The following revised review, rating and selection procedures are to be used in place of Paragraphs 3-51 through 3-58 of Handbooks 4571.2 .

A. Considerations Prior to Forwarding Applications to the Rating Panel.

1. Applications found unapprovable during technical processing cannot be rated or considered by the Rating Panel. NOTE: Sponsors whose applications were found technically unapprovable must be promptly notified when all technical reviews are complete. The letters shall be sent by certified mail and shall innumerate all reasons for technical rejection. Sponsors shall have 10 days from the date of the letter to appeal the

rejection.

ATTACHMENT 4

2. The selection process cannot take place until after receipt of comments from both the State Single Point of Contact or upon expiration of the comment period, whichever occurs first.
 3. State and Area Offices should alert the Rating Panel of any applications with adverse State comments.
 4. The Environmental Assessment and Compliance Findings for the Related Laws (Form 4128) must be completed for applications with satisfactory evidence of site control, all compliance findings made, including any Finding of No Significant Impact, and properly executed by the Chief of Valuation before technical processing can be completed. For projects that required the WRC 8-Step procedure (Floodplain-Wetlands), the Form 4128 should indicate that Steps 1 through 6 have been completed, documentation attached. Also, the applicable determination under Historic Preservation procedures must be made and documented. After completion of technical processing, the Form 4128 must be executed by the Multifamily Director and attached to the Valuation Technical Processing and Review Findings Memorandum.
 5. State and Area Offices should have initiated the eight-step process for sites located in the 100-year floodplain prior to submission to the Rating Panel. The first six steps must be completed prior to submission to Headquarters.
- B. Notification of Technical Rejection. Upon completion of technical processing, a marked-up copy of the Application Log shall be sent to Headquarters, Attention: New Products Division, Room 6138, noting each technical reject application.
- C. Determining Approvable Applications.
1. Establishing the Rating Panel. The Multifamily Director will convene a Rating Panel to assure each application is approvable and to rate the approvable applications.

2. Composition of Panel. The Panel will include the Multifamily Housing Representative and staff from the following Technical Disciplines:
 - a. Valuation
 - b. Architectural and Engineering
 - c. Economic and Market Analysis
 - d. Fair Housing and Equal Opportunity
 - e. Asset Management
 - f. Community Planning and Development
 3. Review for Consistency. If the Multifamily Director's review reveals that a particular Technical Discipline's review comments have violated or are inconsistent with any outstanding instructions, the Director shall take corrective action prior to making selections. Such items should be noted and maintained in the application file.
 4. Recommended Scores. Based on the findings from the Technical Processing Review and Findings Memoranda, the Panel will assign recommended points for each of the rating criteria on the Standard Rating Criteria Form (Attachment 10).
 5. Rank Order. All approvable applications are to be placed in rank order.
- D. Selection of Applications. A Panel shall be convened to select applications according to the following process:
1. Descending Order. Applications shall be selected in descending order which most reasonably approximate the number of units and capital advance authority allocated to each State and Area Office without skipping over a higher rated application.
 2. Units Control. The number of units stated in the NOFA and this Notice controls. Therefore, a State or Area Office may not select more units than it was allocated.

3. Minimum Score. Only those applications that receive a score of 60 base points or above may be considered for selection. (The base score does not include bonus points.)

NOTE: In no case may applications with technical deficiencies (e.g., ineligible Sponsor, missing or unsatisfactory Supportive Services Certification, be considered by State or Area Office panels, or included on the lists described in E. 1. and 2. below.

4. Residual Funds. After making the initial selections, any residual funds may be utilized to fund the next rank-ordered application by reducing the units by no more than 10 percent rounded to the nearest whole number; provided the reduction will not render the project infeasible. Applications proposing 9 units or less may not be reduced.
 5. Approvable but Unfunded Applications. After the above process has been completed, State and Area Offices must identify all unfunded but otherwise approvable applications.
 6. Headquarters' Use of Residual Funds. Headquarters will use residual funds first to restore units to projects that were reduced by State and Area Offices and, second, for selecting additional applications on a national rank order. However, no more than one application will be selected per State and Area Office from the national residual amount unless there are insufficient approvable applications in other State and Area Offices. If funds still remain, additional applications will be selected based on a national rank order, insuring an equitable distribution among all Offices.
- E. Submission to Headquarters. Each State and Area Office shall submit the following items to Headquarters, Attention: New Products Division, Room 6138, in accordance with the schedule in Paragraph 14:
1. An initial selection list in rank order.
 2. An approvable but unfunded list in rank order.

ATTACHMENT 4

3. A list of applications in rank order that received a score of less than 60 base points.

NOTE: State and Area Offices shall use the data diskette that was provided by Headquarters in Fiscal Year 1996 to complete the above lists and must include the contact person for the Sponsor and the local telephone number with area code for each application on the initial selection and approvable but unfunded lists. (See Paragraph 11 of this Notice.)

4. A separate completed recapitulation format. (See Handbook 4571.2 for format. Delete all blocks for Category B and remove reference to Category A but do **not** delete the blocks.)
5. A completed Congressional Notification form for each application on the Initial Selection Lists. Headquarters will notify State and Area Offices of which additional applications selected with residual funds will need completed Congressional Notification forms.
6. A transmittal memorandum which identifies those applications, if any, where the number of units requested was reduced and the amount of the reduction, as well as any unused funds for recapture by Headquarters.

HUD NOTIFICATION

U.S. Department of Housing and Urban Development
Washington, D.C. 20410-8000

MEMORANDUM FOR: Hal C. DeCell, III, Assistant Secretary for
Congressional and Intergovernmental
Relations

FROM:

ACTION: (program title)

PROJECT DESCRIPTION

An allocation of funding has been approved to provide (name, type of effort [i.e., rehab, new construction, housing for persons with disabilities or others]) as follows:

Project Number/Name:

Sponsor/Address:

Number of Units:

Contract Authority: \$

Budget Authority: \$

Project Address:

Zip Code:

Project Contact/Phone Number:

PROGRAM HIGHLIGHTS

(name of program) is an assistance program that_____. Its primary purpose is to (describe in some detail what the award will be used for by the recipient).

STATUS

All administrative, regulatory and statutory requirements have been met.

HUD Program Contact (State or Area Office):

CONGRESSIONAL DELEGATION

Senator:

Senator:

Member of Congress/District:

ATTACHMENT 6

SECTION 811 MINORITY BUSINESS ENTERPRISE (MBE) GOALS

OFFICES	SECTION 811	
	CAPITAL	ADVANCE
UNITS		
NEW ENGLAND		
Massachusetts	124,812	3
Connecticut	93,237	3
New Hampshire	43,744	3
Rhode Island	55,075	3
NY/NJ		
New York	856,425	10
Buffalo	298,592	4
New Jersey	507,477	6
MID-ATLANTIC		
Maryland	228,870	3
West Virginia	187,010	3
Pennsylvania	441,801	6
Pittsburgh	251,344	3
Virginia	212,512	3
D.C.	240,161	3
SOUTHEAST/CARIBBEAN		
Georgia	381,650	6

Alabama	319,642	5
Caribbean	404,698	5
South Carolina	305,747	5
North Carolina	494,455	7
Mississippi	251,567	4
Jacksonville	697,786	11
Kentucky	312,213	5
Knoxville	216,719	4
Tennessee	239,171	4

MIDWEST

Illinois	408,021	5
Cincinnati	139,024	3
Cleveland	226,529	3
Ohio	138,853	3
Michigan	263,275	3
Grand Rapids	84,939	3
Indiana	197,950	3
Wisconsin	182,923	3
Minnesota	177,386	3

SOUTHWEST

Texas/New Mexico	407,159	7
Houston	295,317	5
Arkansas	215,777	4
Louisiana	297,917	5
Oklahoma	235,586	4
San Antonio	263,317	5

GREAT PLAINS

Iowa	53,678	3
Kansas/Missouri	101,537	3
Nebraska	52,418	3
St. Louis	109,533	3

ROCKY MOUNTAINS

Colorado	123,125	3
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PACIFIC/HAWAII

Hawaii (Guam)	333,938	3
Los Angeles	1,115,444	14
Arizona	271,445	4
Sacramento	216,436	3
California	672,970	8

NORTHWEST/ALASKA

Alaska	103,556	3
Oregon	99,714	3
Washington	112,748	3

TOTAL	14,065,223	224
--------------	------------	-----

SECTION 811 CAPITAL ADVANCE PROGRAM
APPLICATION FOR FUND RESERVATION
INITIAL SCREENING REVIEW CHECKLIST FORMAT

Instructions:

1. The MHR shall check all applications to determine if the exhibits are complete, missing or incomplete. **NOTE:** During initial screening, the contents of the exhibits are not to be reviewed; only the inclusion of the material.
2. If an exhibit or part of an exhibit is missing, it should be identified on the review sheet.
3. When completed, the MHR shall draft a letter to the Sponsor either acknowledging receipt of a complete application or identifying missing exhibits or parts of exhibits.
4. If the Sponsor checks box 9b. of Form HUD-92016-CA indicating that it is requesting approval to restrict occupancy of the proposed project to a subcategory of persons with disabilities within one of the three main categories (i.e., physically disabled, developmentally disabled, chronically mentally ill) the MHR must ensure that the Sponsor has submitted the required information in Exhibit 4(c) to justify its request.

Project Sponsor: _____
 Project Location: _____
 Project No.: _____ No. of Units/Residents: _____

INITIAL SCREENING SUMMARY

Date Received for Screening: _____
 Date Screening Completed: _____

+))))),
 .))))- Application is complete.

Date of acknowledgement letter: _____

OR

+))))),
 .))))- Application is incomplete.

ATTACHMENT 7

Date of deficiency letter (attach copy): _____
_Date of response to deficiency letter: _____
_Date Application Placed into Technical Processing: _____

(Signature of MHR) _____ Date _____

Section 811 - Application for Fund Reservation
Initial Screening Review Checklist
Multifamily Housing Representative

Sponsor Name: _____
Project Location: _____
Project No.: _____

The following Exhibits must be checked for completeness by the Multifamily Housing Representative.

<u>EXHIBIT NO.</u>	<u>COMPLETE</u>	<u>INCOMPLETE</u>	<u>MISSING</u>
1	_____	_____	_____
2(a)	_____	_____	_____
2(b)	_____	_____	_____
2(c)	_____	_____	_____
2(d)	_____	_____	_____
2(e)	_____	_____	_____
3(a)	_____	_____	_____
3(b)	_____	_____	_____
3(c)	_____	_____	_____
3(d)	_____	_____	_____
3(e)	_____	_____	_____
3(f)	_____	_____	_____
3(g)	_____	_____	_____
3(h)	_____	_____	_____
4(a)	_____	_____	_____
4(b)(1)	_____	_____	_____
4(b)(2)	_____	_____	_____
4(b)(3)	_____	_____	_____
4(c)(1)	_____	_____	_____
4(c)(1)(i)	_____	_____	_____
4(c)(1)(ii)(A)	_____	_____	_____
4(c)(1)(ii)(B)	_____	_____	_____
4(c)(1)(iii)	_____	_____	_____
4(c)(1)(iv)	_____	_____	_____
4(c)(2)	_____	_____	_____
4(c)(3)	_____	_____	_____
4(c)(4)(i)	_____	_____	_____
4(c)(4)(ii)	_____	_____	_____
4(c)(4)(iii)	_____	_____	_____
4(c)(4)(iv)	_____	_____	_____
4(c)(4)(v)	_____	_____	_____
4(c)(4)(vi)	_____	_____	_____
4(c)(5)	_____	_____	_____
4(c)(6)	_____	_____	_____
4(c)(7)	_____	_____	_____
4(d)	_____	_____	_____
4(e)(1)(i)	_____	_____	_____

<u>EXHIBIT NO.</u>	<u>COMPLETE</u>	<u>INCOMPLETE</u>	<u>MISSING</u>
4(e)(1)(ii)			
4(e)(1)(iii)			
4(e)(1)(iv)			
4(e)(1)(v)			
4(e)(1)(vi)			
4(e)(1)(vii)			
4(e)(1)(viii)			
4(e)(1)(viii)(A)			
4(e)(1)(viii)(B)			
4(e)(1)(viii)(C)			
4(e)(1)(viii)(D)			
4(e)(1)(viii)(E)			
4(e)(1)(viii)(F)			
4(e)(1)(viii)(G)			
4(e)(2)(i)			
4(e)(2)(ii)			
4(e)(2)(iii)			
4(e)(2)(iv)			
4(e)(2)(v)			
5			
6			
7			
8 or			
8(a)			
8(b)			
8(c)			
8(d)			
9			
10			
11			
12			

NOTES:

1. Sponsors must provide **either** evidence of control of an approvable site (Exhibit 4(e)(1)(i) through 4(e)(1)(vii) **or** information on an identified site(s) (Exhibit 4(e)(2)(i) through 4(e)(2)(v). Put N/A for whichever part of Exhibit 4e is not applicable to the application.
2. Exhibit 4(e)(1)(viii)(A) through (G) applies only to applications in which the Sponsor requests an exception to the project size limits. If it is not applicable to the application, put N/A for Exhibit 4(e)(1)(viii)(A) through (D).

1. +))))), To complete the application review, the
 .))))- following information must be requested from the
 Sponsor:

[illegible]

- Comments: _____
- _____
- _____
- _____
- _____
- _____

40

SECTION 811 CAPITAL ADVANCE
APPLICATION FOR FUND RESERVATION
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDA FORMATS

Instructions:

1. The attached contains 9 separate suggested memoranda formats for use by the reviewing disciplines during technical processing at the fund reservation stage. The memoranda formats provide for:
 - the assignment of recommended rating points by the reviewing discipline for the Section 811 Rating Panel.
 - identification of all required findings and applicable program instructions.
 - identification of substantive comments by the reviewer.
- NOTE: Other review formats may be used as long as the required information is recorded.
2. The rating factors on the memoranda formats correspond to the rating criteria on the Standard Rating Criteria Form (Attachment 10). For example, on the MHR's Memoranda Format there is no (b) under Rating Factor 1 because that factor is rated by FHEO. Furthermore, the points for each overall factor on the memoranda format relate to the maximum points the particular technical discipline can assign to the rating factor and may not equal the total points for the corresponding rating criterion on the Standard Rating Criteria Form. For example, Rating Criterion 1 on the Standard Rating Criteria Form is worth 57 base points. However, on the MHR's Memoranda Format, Rating Factor 1 is worth 42 points because the MHR does not rate Rating Criterion 1(b) which is worth 10 points and Rating Criterion 1(c) which is worth 5 points.
3. If the reviewing discipline discovers that an exhibit or part of an exhibit is missing which was not identified during initial screening, the MHR must be notified immediately. The MHR shall telephone the Sponsor and request the missing information to be submitted within 5 working days from the date of the telephone call. The MHR shall also request this information on the same day by certified mail.
4. If the MHR determines, based on a review of the Sponsor's justification, that the Sponsor's request for restricted

occupancy should be approved, it must prepare a memorandum to the file for the signature of the Director, Multifamily Division, indicating that the Sponsor's request to restrict occupancy has been approved. The memorandum shall be attached to the MHR's Technical Review and Findings Memorandum and include the following language which must be inserted in the Notification of Selection Letter should the Sponsor be selected for funding:

"Your request to restrict occupancy to (insert applicable subcategory of persons with disabilities) is approved. However, you must permit occupancy by any otherwise qualified very low income person with a disability, provided the person can benefit from the housing and/or services provided."

5. Review Disciplines Summary: MHR shall complete the following:

<u>Reviewing Office</u>	<u>Recommendation 1/</u>	
	<u>Acceptable</u>	<u>Not Acceptable</u>
MHR	_____	_____
AE&C	_____	_____
VAL	_____	_____
EMAS	_____	_____
FH&EO	_____	_____
HM	_____	_____
Counsel	_____	_____
CPD	_____	_____
SEC REP	_____	_____

1/ If an application receives a "not acceptable" recommendation, it should not be considered by the Rating Panel.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
MULTIFAMILY HOUSING REPRESENTATIVE (MHR)

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, MHR

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor's Name: _____

Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed and the MHR's findings are as follows:

1. The proposed housing and intended occupants are eligible under the Section 811 program.

Yes _____ No _____ If No, the application must be rejected.

Comments : _____

2. The Sponsor has previous experience in developing and/or operating housing, supportive services or other facilities, such as, but not limited to, rehabilitation centers, clinics, day care or treatment centers and/or in the provision of services to persons with disabilities, the elderly, families or minority groups, preferably, but not necessarily, among those in the low and moderate income categories.

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

(Technical Processing - MHR) - continued
Project No. _____

3. The Sponsor submitted a board resolution stating its commitment to cover the required minimum capital investment, estimated start-up expenses, and the estimated cost of any amenities or features and (operating costs related thereto) which would not be covered by the approved capital advance.

Yes _____ No _____ If No, was a board resolution provided by another organization to furnish these funds or a combination thereof?

Yes _____ No _____ If No, the application must be rejected.
If Yes, name of organization _____

Comments: _____

4. The Sponsor submitted properly executed Exhibits including Certifications.

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

5. The likelihood that the Sponsor will have site control (if not already in control of a site) within six months of receiving a notice of Section 811 Capital Advance.

Yes _____ No _____ If No, the application must be rejected.

Comments: _____

(Technical Processing - MHR) - continued
Project No. _____

6. Did the State/local agency certification indicate that the provision of supportive services is well designed to meet the special needs of the persons with disabilities the housing is intended to serve?

Yes ____ No ____ If No, the application must be rejected.

7. Did the State/local agency certification indicate that the proposed housing is consistent with the agency's plans/policies governing the development and operation of housing to serve the proposed population?

Yes ____ No ____ If No, and the agency will be a major funding or referral source for the proposed project, or must license the project, the application must be rejected.

8. Did the State/local agency certification indicate that the necessary supportive services will be provided on a consistent, long-term basis?

Yes ____ No ____ If No, the application must be rejected.

Comments: _____

NOTE: Any application that must be rejected based on a "No" response to any of the above questions, must be rated. However, the application will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed.

9. If the Sponsor requested approval to limit occupancy to a subcategory of one of the three main categories of disability (see 2.I. of the Notice above), did the Sponsor sufficiently respond to all six requirements to justify an approval of the request?

Yes ____ No ____ Explain.

Comments: _____

(Technical Processing - MHR) - continued
Project No. _____

NOTE: If approval is granted, a memorandum to the file indicating such must be signed by the Multifamily Division Director and attached to this Review Sheet. If the Sponsor is selected for funding, the paragraph in item 4. of the Instructions above must be included in the Notification of Selection Letter.

10. If the Sponsor is requesting approval to exceed the project size limits, does the Sponsor sufficiently justify approval of such an exception?

Yes ____ No ____ Explain.

Comments: _____

RATING FACTORS

1. In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider: (47 base points)

- (a) The scope, extent and quality of the Sponsor's experience in providing housing or related services to those proposed to be served by the project and the scope of the proposed project (i.e., number of units, services, relocation costs, development, and operation) in relationship to the Sponsor's demonstrated development and management capacity as well as its financial management capability. (32 points maximum)

Recommended rating: _____

Comments: _____

- (d) The extent of the Sponsor's activities in the community, including previous experience in serving the area where the project is to be located, and the

(Technical Processing - MHR) - continued
Project No. _____

Sponsor's demonstrated ability to raise local funds.
(10 points maximum)

Recommended rating: _____

Comments: _____

BONUS POINTS

(a) The Sponsor's board is comprised of at least 51% persons with disabilities including persons with disabilities similar to those of the prospective residents. **(5 bonus points)**

Recommended rating: _____

Comments: _____

(b) The Sponsor has involved persons with disabilities (including minority persons with disabilities and persons with disabilities similar to those of the prospective residents) in the development of the application and will them in the development and operation of the project . **(5 bonus points)**

Recommended rating: _____

Comments: _____

In summary, the subject application is acceptable.

Yes ____ No ____

Comments: _____

Signature of MHR

Date

NOTE: ALL OF THE EXHIBITS WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
ARCHITECTURAL, ENGINEERING, AND COST BRANCH (A&E)

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Chief, Architectural,
Engineering and Cost Branch

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor's Name: _____

Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed and Architectural, Engineering and Cost's findings are as follows:

RATING FACTORS

2. In determining the need for supportive housing for persons with disabilities in the area to be served, suitability of the site, and the design of the project, consider: (10 points maximum)
 - (d) The extent to which the proposed design will meet any special needs of persons with disabilities the housing is expected to serve. (10 points maximum)

Recommended rating: _____

Comments: _____

(Technical Processing - A&E) continued
Project No. _____

The application is acceptable from an Architectural,
Engineering and Cost viewpoint.

Yes _____ No _____

Comments: _____

Signature of Reviewer

Date

NOTE: EXHIBITS 1 and 4(a),4(b),4(e)(1)(iii) WERE REVIEWED TO
DETERMINE THE ABOVE FINDINGS.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM -
VALUATION BRANCH

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Chief Appraiser, Valuation Branch

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No: _____
Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

_____ The subject application has been reviewed and Valuation's comments are as follows:

The Sponsor has: site control _____ or identified a site _____.

NOTES: 1) If the Sponsor did not submit either evidence of site control or an identified site, the application must be rejected. The application will still be rated as a whole but will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed.
2) If the Sponsor is proposing a scattered-site project with some sites under control and some identified, the application must be treated as a site identified application and rated under Criterion 2 (b) below.

RATING FACTOR

2. In determining the need for supportive housing for persons with disabilities in the area to be served, the suitability of the site, and the design of the project, consider: (15 base points)
 - (b) Proximity or accessibility of the site to shopping, medical facilities, transportation, places of worship, recreational facilities, places of employment and other necessary services to the intended occupants, adequacy of utilities and streets and freedom of the site from adverse environmental conditions (site control projects only) and compliance with the site and neighborhood standards. (15 points maximum)

(Technical Processing - Valuation) - continued
Project No. _____

Recommended rating: _____

Comments: _____

BONUS POINTS

- (c) The application contains acceptable evidence of control of an approvable site. **(10 bonus points)**

Recommended rating: _____

Comments: _____

The following additional findings have been made:

1. The number of units and bedroom sizes are marketable.

Yes ____ No ____

Comments: _____

2. The proposed site is located outside the 100-year floodplain.

Yes ____ No ____ If No, the 8-step process must be initiated.

Comments: _____

NOTE: Six steps of the 8-step process identified in 24 CFR Part 50.4 must be completed, if an application is recommended for funding.

(Technical Processing - Valuation) - continued
Project No. _____

3. For applications with site control only, the proposed project meets Environmental Assessment requirements, including Compliance Findings (including SHPO comments and HUD's historic finding) set forth in attached Form HUD-4128.

Yes _____ No _____ N/A _____

If No, the application shall **NOT** be rejected. It shall receive 0 points for Criterion 2 (b) and Criterion 3 (c) and will remain in the competition provided the Sponsor indicated its willingness to seek an alternative site (Exhibit 4(e)(1)(iv), it meets all other requirements and scores at least 60 base points).

Comments: _____

4. Is the site located in a floodway, Coastal High Hazard Area, and/or within a designated Coastal Barrier (Coastal Barrier Resources Act P.L. 97-348)?

Yes _____ No _____

If Yes, the site must be rejected. The application shall receive 0 points for Criterion 2 (b) and Criterion 3 (c).

5. Was the Phase I Environmental Site Assessment submitted?

Yes _____ No _____

If no, the site must be rejected. If yes, check one of the following:

_____ No further study was indicated.

_____ Further study was indicated and the Phase II Environmental Assessment was completed.

(Technical Processing - Valuation) - continued
Project No. _____

Comments: _____

6. The proposed construction or rehabilitation is permissible under applicable zoning ordinances or regulations, or a statement was included indicating the proposed action required to make the proposed project permissible and the basis for belief that the proposed action would be completed successfully before the submission of the commitment application.

Yes _____ No _____ If no, application must be rejected.

Comments: _____

In summary, the subject application is: +))) , Acceptable
.))) -
+))) , Not
.))) -

Acceptable

Explain: _____

_ (Signature or Appraiser) _____ Date _____

Attachment: Form HUD-4128 with supporting documentation.

NOTE: EXHIBITS 1, 4 and 8 WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
ECONOMIC & MARKET ANALYSIS

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Director, Economic &
Market Analysis

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

_Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed and EMAS's findings are as follows:

1. Taking into consideration the information available, including the Sponsor's evidence of need, current and anticipated housing market conditions in assisted housing for persons with disabilities and comments from the Rural Housing Service, is there sufficient demand for the number and type of units proposed?

+))) , Yes +))) , No
.))) - .))) -

If No, the application is a technical reject and is to be given zero (0) points on rating criterion 2 (a) below.

Explain basis for the finding: _____

2. The proposed location is acceptable and desirable for persons with disabilities taking into consideration the proximity or accessibility of public facilities, health care and other necessary services to the intended occupants.

+))) , +))) ,

.))) - Yes .))) - No

Comments: _____

_____ **NOTE:** EMAS should complete this question only if it has available relevant information on the site and location.

(Technical Processing - EMAS) - continued
Project No. _____

RATING FACTOR

2. In determining the need for supportive housing for persons with disabilities in the area to be served, suitability of the site, and the design of the project, consider: (8 points maximum)

(a) The extent of the need for the project in the area based on a determination by the HUD Office. This determination will be made by taking into consideration the Sponsor's evidence of need in the area as well as other economic, demographic and housing market data available to the HUD Office. (8 points maximum)

NOTE: If a determination has been made that there is a need for additional supportive housing for persons with disabilities in the area to be served, the project is to be awarded 8 points. If not, the project is to be awarded 0 points. Awarding of points between 0 and 8 points is not permitted.

Recommended rating: _____

Comments: _____

_____ Based on the EMAS review, the application is:

+))) , Acceptable
.))) -

+))) , Not Acceptable
.))) -

Explain: _____

____ (Signature of Economist) _____ Date

NOTE: EXHIBITS 1, 4(a) and 4(e) WERE REVIEWED TO DETERMINE
THE ABOVE FINDINGS.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
FAIR HOUSING & EQUAL OPPORTUNITY (FHEO)

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Director, Fair Housing
and Equal Opportunity

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The Office of Fair Housing and Equal Opportunity (FHEO) has reviewed the subject application in accordance with the rating criteria as outlined in the NOFA and this Notice and applicable notices and in accordance with applicable civil rights requirements. FHEO's recommended ratings and comments on the acceptability of the application are as follows:

1. Based on the application submission, even without the benefit of a site visit, the proposed site meets site and neighborhood standards.

Yes _____ No _____

If No, without proper justification, site is rejected and application receives no points for Criterion 2 (b) and Criterion 3 (c).

Comments: _____

2. Sponsor is in compliance with civil rights laws and regulations, i.e., there is no pending Department of Justice civil rights suit, or outstanding finding of non-compliance with civil rights statutes, executive orders, or regulations (as a result of formal administrative proceedings), or Secretarial charge under the Fair Housing Act which has not been resolved; and, there has not been a deferral of the processing of applications from the Sponsor.

Yes _____ No _____

(Technical Processing - FHEO) - continued
Project No. _____

Comments: _____

3. The Sponsor's Certifications are acceptable in connection with compliance with civil rights laws, regulation, Executive Orders, and equal opportunity requirements.

NOTE: FHEO shall accept the Certifications unless there is documented evidence to the contrary.

Yes _____ No _____

Comments: _____

NOTE: Any application that would require rejection based on a "No" response in any of the above questions (with the exception of question #1) must be rated. However, the application will not be ranked. The applicant will not be notified of the rejection until technical processing has been completed.

RATING FACTORS

1. In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider: (10 points maximum)

(b) The scope, extent and quality of the Sponsor's

exp

NOTE: If the Sponsor has no previous housing

Recommended rating: _____

Comments: _____

(Technical Processing - FHEO) - continued
Project No. _____

2. In determining the need for supportive housing for persons with disabilities in the area to be served, the suitability of the site, and the design of the project, consider: (10 points maximum)

(c) The suitability of the site from the standpoints of promoting a greater choice of housing opportunities for minority persons with disabilities and affirmatively furthering fair housing. (10 points maximum)

Recommended rating: _____

Comments: _____

The following additional findings have been made:

1. The project addresses a low participation rate and an identified need for housing for very low income minority persons with disabilities.

Yes ____ No ____

Comments: _____

2. Based upon data submitted in Exhibit 3(b), the Sponsor indicates ties to the minority community.

Yes ____ No ____

Comments: _____

3. The Sponsor's project is consistent with the affirmatively furthering fair housing provisions of the jurisdiction's Consolidated Plan Certification.

Yes ____ No ____

Comments: _____

(Technical Processing - FHEO) - continued
Project No. _____

4. For projects with relocation indicated, is the information submitted in Exhibit 8 acceptable?

Yes _____ No _____ N/A _____

Comments: _____

5. The Sponsor submitted the required racial and ethnic data on the persons/businesses to be displaced.

Yes _____ No _____ N/A _____

Comments: _____

The subject application is acceptable from an FHEO viewpoint.

Yes _____ No _____

Explain: _____

____ (Signature of FHEO Reviewer)

____ Date

NOTE: EXHIBITS 1, 3(a), 3(b), 3(d), 3(e), 3(f), 3(h), 4(a),

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
ASSET MANAGEMENT

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Director, Asset
Management Division

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
Project Location: _____
Project No.: _____
Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The Asset Management Division has reviewed the subject application according to outstanding instructions and the findings are as follows:

RATING FACTORS:

1. In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider: (32 points maximum)
 - (a) The scope, extent and quality of the Sponsor's experience in providing housing or related services to the persons proposed to be served by the project and the scope of the proposed project (i.e., number of units, services, relocation costs, development, and operation) in relationship to the Sponsor's demonstrated development and management capacity as well as its financial management capability. (32 points maximum)

Recommended rating: _____

Comments: _____

NOTE: In arriving at recommended ratings, consideration must be given to evidence provided by the Sponsor that it has organizational continuity and will be able to continue its support to the project for at least 40 years.

(Technical Processing - AM) - continued
Project No. _____

The following additional findings have been made:

1. Asset Management's experience with the Sponsor has been satisfactory, if self-management or identity of interest management is proposed.

Yes _____ No _____ N/A _____

Comments: _____

2. Is project likely to affect adversely other HUD-insured and assisted housing?

Yes _____ No _____ If yes, application must be

Comments: _____

The subject application is acceptable from an Asset Management viewpoint.

Yes _____ No _____

Explain: _____

Signature of AM Reviewer

Date

NOTE: EXHIBITS 1, 3(b), 3(e), and 5 WERE REVIEWED TO DETERMINE THE ABOVE FINDINGS.

SECTION 811
TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
FIELD OFFICE COUNSEL

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Field Office Counsel

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed and the Field Office Counsel's comments are as follows:

1. The Sponsor is an eligible nonprofit entity, no part of the net earnings of which inures to the benefit of any private party and which is not controlled by or under the direction of persons seeking to derive profit or gain therefrom.

Yes ____ No ____

Comments: _____

—

2. The Sponsor has the necessary legal authority to sponsor the project, to assist the Owner and to apply for the capital advance.

Yes ____ No ____

Comments: _____

3. The Sponsor has an IRS Section 501(c)(3) tax exemption ruling, a blanket exemption with the Sponsor specifically named in the list, or a copy of the letter from the national/parent organization to the IRS requesting that the Sponsor be included under its blanket exemption.

Yes ____ No ____

Comments: _____

(Technical Processing - Counsel) - continued
Project No. _____

4. The Sponsor has submitted documentary evidence of site control which does not contain restrictive covenants or reverter clauses unacceptable to HUD.

Yes _____ No _____ N/A _____

Comments: _____

5. The Sponsor's board has adopted a resolution which:

- (a) Certifies that no officer or board member of the Sponsor, or of the Owner when formed, has or will be permitted to have any financial interest in any contract or in any firm or corporation that has a contract with the Owner in connection with the construction or operation of the project, procurement of the site or other matters whatsoever.

NOTE: This prohibition, as to the Sponsor's officers or board, does not apply to any management or supportive service contract entered into by the Owner with the Sponsor or its nonprofit affiliate.

Yes _____ No _____

Comments: _____

- (b) Lists all the Sponsor's duly qualified and sitting officers and directors, their titles, and the beginning and ending date for each of their terms of office.

Yes _____ No _____

Comments: _____

NOTE: If the answer to any item is checked "No," with the exception of Question #4, Counsel will check "not acceptable" below and the application will be rejected.

(Technical Processing - Counsel) - continued
Project No. _____

RECOMMENDATION:

+))) , The subject Application is acceptable.
.))) -

+))) , The subject Application must be rejected for the
.))) - following reason(s):

(Signature of Field Office Counsel)

Date

NOTE: EXHIBITS 1, 2, and 4(e) WERE REVIEWED TO DETERMINE THE
ABOVE FINDINGS.

SECTION 811
 TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
COMMUNITY PLANNING AND DEVELOPMENT (CPD)
RELOCATION REVIEW

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Director, Community
 Planning and Development

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____
 Project Location: _____

Project No.: _____
 Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed with regard to displacement and acquisition and finds the following:

1. (a) Sponsor has completed the information required by Exhibit 8, Data on Project Occupancy,

+)), Yes +)), No
 .)))- .)))-

- (b) Sponsor has identified persons occupying the Application (or initial site control, if

No. not to be No. to be

<u>Displaced</u>	<u>Displaced</u>
Households (families and individuals)	_____
Business and Nonprofit Organizations	_____
Farms	_____

Totals

2. (a) Estimated costs for relocation and real property acquisition, if applicable, are reasonable.

+)), Yes +)), No
 .))- .))-

(Technical Processing - CPD) continued
 Project No. _____

- (b) The source of funding for such costs has been

+)), Yes +)), No
 .))- .))-

- (c) There is a firm commitment to provide funds for relocation costs (Section 811 funds or other sources).

+)), Yes +)), No
 .))- .))-

3. Organization to administer relocation has been identified.

+)), Yes +)), No
 .))- .))-

4. Certification of compliance with Relocation and real property acquisition requirements has been provided.

+)), Yes +)), No
 .))- .))-

5. Will the project be located in an Empowerment Zone,

+)), Yes +)), No
 .))- .))-

If Yes, notify the Multifamily Housing Representative

In view of the above, the proposal is acceptable to
 Community Planning and Development.

+)), Yes +)), No If No, identify the
 .))- .))- conditions for acceptability.

(Technical Processing - CPD) continued
Project No. _____

Conditions, if any, for approval: _____

_ (Signature of CPD Reviewer) _____ Date _____

NOTE: EXHIBITS 1, 4(e), and 8 WERE REVIEWED TO DETERMINE THE

TECHNICAL PROCESSING REVIEW AND FINDINGS MEMORANDUM
SECRETARY'S REPRESENTATIVE

MEMORANDUM FOR: Director, Multifamily Division

FROM: _____, Secretary's Representative

SUBJECT: Technical Processing Review and Findings Memorandum

Sponsor Name: _____

Project Location: _____

Project No.: _____

Proj. Type/# of Struct.: _____ # of Units per Struct.: _____

The subject application has been reviewed according to outstanding instructions and the findings are as follows:

RATING FACTORS:

1. In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider:

- (c) The extent of local government support for the project. (5 points maximum)

Recommended rating: _____

Comments: _____

Based on my review, the subject application is acceptable.

Yes _____ No _____

Explain: _____

Signature of Secretary's Representative

Date

NOTE: EXHIBITS 1 AND 3(a) and 3(c) WERE REVIEWED TO

**GUIDELINES FOR RATING SECTION 811 APPLICATIONS FY 1997
SUPPORTIVE HOUSING FOR PERSONS WITH DISABILITIES**

DIRECTIONS: In applications proposing a Co-Sponsor, the Sponsor and Co-Sponsor are to be evaluated and scored separately. **The higher score shall be awarded to the application.**

The full range of numerical ratings should be used.

- 1. In determining the Sponsor's ability to develop and operate the proposed housing on a long-term basis, consider: (57 points maximum)**

(MHR (a) The scope, extent and quality of the Sponsor's & AM experience in providing housing OR related services avg'd) those proposed to be served by the project and the development, and operation) in relationship to the Sponsor's demonstrated development and management capacity and financial management capability (32 points maximum). [See Exhibits 2, 3(a), 3(b), 3(d), 3(e), 3(f), 4(d), and 5]

27-32 Points Sponsor must have developed and operated at least one housing project comparable in scope to the project being applied for **or** provided related supportive services for at least five years **for the proposed population** and, demonstrated a consistent performance in timely development, effective marketing, and efficient management of both housing and/or service delivery. Also, the Sponsor must not have received any unreasonable increases in fund reservations for developing and/or operating previously funded projects.

14-26 Points Sponsor has at least three years experience in providing housing **and/or** supportive services and/or service delivery.

for the

1-13 Points Sponsor has less than three years experience in providing either housing or supportive services

ATTACHMENT 9

for the proposed population, or has not

consistently performed the development, marketing, and management of housing and/or service delivery.

(FHEO)(b) The scope, extent and quality of the Sponsor's experience in providing housing or related services to minority persons or families (10 points maximum)[See Exhibit 3]

10 points Sponsor has significant previous experience in housing/serving minorities (i.e., previous housing assistance/related service to minorities was equal to or greater than the percentage of minorities in the jurisdiction where the previous housing/service experience occurred); and the Sponsor has ties to the minority community.

8-9 points Sponsor has significant previous experience in housing/serving minorities. There is no evidence that the Sponsor has ties to the minority community.

5-7 points Sponsor has minimal experience in housing/serving minorities (i.e., previous housing assistance/related service to minorities was less than the percentage of minorities in the jurisdiction where the previous housing/service experience occurred); and the Sponsor has ties to the minority community.

3-4 points Sponsor has minimal experience in housing/serving minorities and the Sponsor does not have ties to the minority community.

1-2 points The Sponsor does not have experience in housing/serving minorities, but the Sponsor has ties to the minority community.

0 points None of the above.

(SEC (c) The extent of local government support for the
REP) project. (5 points maximum)[See Exhibits 3(c), 3(d) and 11]

5 points The application contains written evidence that the local government intends to provide financial assistance and community services to the proposed project and the project is consistent with the

ATTACHMENT 9

Consolidated Plan which shows a need for housing for persons with disabilities.

3 points The application contains written evidence that the local government intends to provide community services to the proposed project and the project is consistent with the Consolidated Plan which shows a need for housing for persons with disabilities.

1 point The Sponsoring organization has enlisted some support in the community (i.e., letters of support from other agencies) for the proposed project and the project is consistent with the Consolidated Plan which shows a need for housing for persons with disabilities.

(MHR)(d) The extent of the Sponsor's activities in the community, including previous experience in serving the area where the project is to be located, and Sponsor's demonstrated ability to raise local funds. (10 points maximum)[See Exhibits 2, 3(b), 3(c), 3(d), 3(e)]

7-10 The Sponsor has provided extensive evidence of:

- a. Sponsor's past history of serving the project locality (i.e., extent of its activities, period of involvement and the size of the population served); and,
- b. Sponsor's fund-raising ability.

4-6 The Sponsor has provided documentation which points demonstr

1-3 points The Sponsor has limited experience in serving the area where the project is to be located, or in securing

2. The need for supportive housing for persons with disabilities in the area to be served, the suitability of the site, and the design of the project, consider: (43 points maximum).

NOTE: All references to "site" automatically include its plural form in the case of scattered site projects.

ATTACHMENT 9

(EMAS)(a) The extent of need for the project in the area based

on a determination made by the HUD Office. This determination will be made by taking into consideration the Sponsor's evidence of need in the area, as well as other economic, demographic, and housing market data available to the HUD Office. (8 points maximum)

NOTE: This factor must be scored either 0 or 8 points. [See Exhibits 1, 4(a), and 4(e)]

- (VAL) (b) The proximity or accessibility of the site to shopping, medical facilities, places of employment, places of worship, transportation, recreational facilities, and other necessary services to the intended occupants, adequacy of utilities and streets and freedom of the site from adverse environmental conditions (site control projects only), and compliance with site and neighborhood standards. (15 points)[See Exhibit 4(e)]

SITE CONTROL PROJECTS

10-15 points **All necessary services and facilities**, including shopping facilities for daily necessities (groceries, toiletries and medicines), are within safe walking distance, OR are easily accessible by frequently operating public transportation or by transportation provided by the Sponsor.

Utilities and streets are available, adequate to serve the proposed use, and will require little or no off-site construction.

Permissive zoning is in place.

No filling is necessary; soil shows **no evidence of instability**; or, **minimal construction is necessary** to improve site drainage. **Site is adequate** in size, exposure, configuration, and topography with no special facilities required.

Site is **free from all adverse environmental conditions**, including hazardous conditions, and adequate fire and police protection is readily available.

ATTACHMENT 9

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

4-9 points

Some necessary services and facilities, including shopping facilities for daily necessities, are within safe walking distance OR are easily accessible by frequently operating public transportation or by transportation provided by the Sponsor. Streets and/or utilities can be made available to the site with **moderate** extensions.

Re-zoning is necessary and Sponsor provided a reasonable assurance that it will be accomplished with only **minor** extensions.

Some filling is necessary; soil shows **some evidence** of instability; or **minor** construction is necessary to improve site drainage. Site is adequate in size, exposure, configuration and topography with no special facilities required. Site is free from all hazardous environmental conditions, but **some minor adverse conditions exist** (e.g., higher than desirable noise level, or minimal air pollution). However, mitigation is possible **without significant expenditures** of time and expense. Adequate fire and police protection is readily available.

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

1-3 points

Few necessary services and facilities, including shopping facilities for daily necessities are within safe walking distance. **Description of the availability of public transportation or the willingness, capacity and plan of the Sponsor to provide transportation is vague.**

Streets and/or utilities can be made available to the site only with **significant** extensions.

Re-zoning is necessary and the Sponsor provided a reasonable assurance that it will be accomplished with **moderate** extensions.

Moderate filling is necessary; soil shows **evidence of instability**; or **moderate construction is necessary** to improve site drainage. **Site is minimally acceptable** in terms of size, exposure, configuration, drainage, and topography with some special facilities required. Site is free from all hazardous environmental conditions, but some minor adverse conditions exist (e.g., higher than desirable noise level, or minimal air pollution). However, mitigation is possible but with **significant expenditures** of time and expense. Adequate fire and police protection is readily available.

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

SITE IDENTIFIED PROJECTS

The site should be rated based upon the Sponsor's description and any information you have about the site and the surrounding area **without** benefit of a site visit.

10-15 points **All necessary services and facilities**, including shopping facilities for daily necessities (groceries, toiletries and medicines), are provided by the Sponsor.

wit

Permissive zoning is in place.

Site is located in a community setting, will blend in with existing architecture, and will afford maximum integration of the proposed residents.

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

4-9 points **Some necessary services and facilities**, including shopping facilities for daily necessities, are within safe walking distance OR are easily accessible by frequently operating

public transportation or by transportation provided by the Sponsor.

Re-zoning is necessary but Sponsor indicates that it will be accomplished with only **minor** extensions.

Site is located in a community setting, will blend in with existing architecture, and will afford maximum integration of the proposed residents.

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

1-3 points

Few necessary services and facilities, including shopping facilities for daily necessities are within safe walking distance. **Description of the availability of public transportation or the willingness, capacity and plan of the Sponsor to provide transportation is vague.**

Re-zoning is necessary but the Sponsor indicated that it may take longer than six months beyond fund reservation award.

Site is located in an area which **does not have a concentration of housing in which occupancy is limited to persons with disabilities.**

(FHEO)(c) Suitability of the site from the standpoints of promoting a greater choice of housing opportunities for minority persons and affirmatively furthering fair housing. (10 points maximum)

(See Exhibit 4. Information is available also from the Consolidated Plan; census reports and community and fair housing planning mapping systems; monitoring or compliance review reports; FHEO and Housing Asset Management's files and HUD's in-house tracking data system for Section 8 Applications and Contracts - Multifamily Tenant Characteristics System (MTCS).)

The FHEO Rating Criterion for Factor 2 awards points considering the existence and location of existing housing for minority persons and whether a minority concentrated area has an unmet need for such housing in determining whether a site promotes housing choice.

Situation #1 - Housing market area where there is no existing assisted housing for persons with disabilities and minority persons with disabilities (including Section 202, other Section 811 and low rent public housing projects). There is a need for such housing both inside and outside areas of minority concentration.

- | | |
|-----------|--|
| 10 points | The site is located in a racially mixed area with a need for such housing. |
| 8 points | The site is located in a non-minority area with a need for such housing. |
| 5 points | The site is located in a minority concentrated Area with a need for such housing. The Sponsor has comparable, rental units outside of the minority concentrated area that will be available to minority persons with disabilities through vacancies and/or turnover thus providing a housing choice to those minority persons with disabilities who live outside the minority community. |
| 3 points | The site is located in a minority concentrated area with a need for housing. Sponsor does not have comparable rental units outside of the minority concentrated area. |
| 0 points | None of the above. The site, although acceptable, does not promote a greater choice of housing opportunities for minority persons with disabilities. |

Situation #2 - Housing market area where there is existing assisted housing for minority persons with disabilities (including Section 202, other Section 811, low rent public housing and other assisted housing projects for minority persons with disabilities) and such housing is located in a non-

minority area. There is an unmet need to house

ATTACHMENT 9

minority persons with disabilities in a minority concentrated area:

- | | |
|-----------|---|
| 10 points | The site is located in a minority concentrated area with an unmet housing need for persons with disabilities and/or minority persons with disabilities. |
| 8 points | The site is located in a racially mixed area bordering the minority concentrated area with an unmet need for housing minority persons with disabilities. |
| 5 points | The site is located in a non-minority area but Sponsor has comparable, rental units in the minority concentrated area that will be available to minority persons with disabilities through vacancies and/or turnover, thus providing a housing choice to minority persons with disabilities who desire to remain in the minority community. |
| 0 points | None of the above. The site, although acceptable, does not promote a greater choice of housing opportunities for minority persons with disabilities. |

Situation #3 - Housing market area where the existing housing for minority persons with disabilities is located in an area of minority concentration. There is still a housing need in the minority concentrated area, as well as in the community as a whole:

- | | |
|-----------|--|
| 10 points | The site is located in a racially mixed area. |
| 8 points | The site is located in a non-minority area. |
| 5 points | The site is located in a minority area but Sponsor has comparable, rental units outside of the minority concentrated area that will be available to minority persons with disabilities (through vacancies and/or turnover), thus providing a housing choice to minority persons with disabilities who live outside the minority community. |

0 points None of the above. The site, although acceptable, does not promote a greater choice of housing opportunities for minority persons with disabilities.

Situation #4 - Housing market area where few or no minorities live. (There are no or few areas of minority concentration.)

10 points The site is located in a housing market area with a population of only a few minorities.

5 points The site is located in a housing market area with a population of no minorities.

Situation #5 - Housing market area where existing assisted housing for minority persons with disabilities is inside a minority concentrated area and also outside a minority concentrated area. Both areas have an unmet need for housing for minorities.

10 points The site is located **Outside** and the majority of assisted housing is located inside.

10 points The site is located **Inside** and the majority of assisted housing is located outside.

5 points The site is located **Outside** and the majority of assisted housing is located outside.

5 points The site is located **Inside** and the majority of assisted housing is located inside.

Situation #6 - Housing market area where few or no non-minorities live. (There are no or few areas of non-minority concentration.)

10 points The site is located in a housing market area with a population of only a few non-minorities.

5 points The site is located in a housing market area with a population of no non-minorities.

(ARCH)(d) The extent to which the proposed design will meet any special needs of persons with disabilities the

housing is intended to serve. (10 points maximum)
[See Exhibit 4(b)]

ATTACHMENT 9

6-10 points Although the individual needs of the population to be served by the project are not known at this time, it is
Sponsor has thoroughly thought out the design of the bui

The proposed population does not require any special design features and there will not be any on-site services requiring special accommodations;

OR,

The proposed population will need certain design features and identifies each feature, its purpose, why it will be needed, its location and specification as well as any other pertinent information. The features do not include prohibited amenities such as health care equipment.

1-5 points The narrative is not detailed and only provides a sketchy description of the overall design of the building
them. It is evident from the narrative that the Sponsor has not thoroughly thought out the design of the building(s) or the general design requirements of the prospective residents.

3. Bonus Points

(MHR)(a) The Sponsor's board is comprised of at least 51 percent persons with disabilities including persons

(MHR)(b) The Sponsor has involved persons with disabilities (ir
development of the application and will involve them in
the development and operation of the project. (5
bonus points) [See Exhibit 3(f)]

The following criteria must be met to receive the 5 bonus points:

- 1) The Sponsor met with persons with disabilities (including minority persons with disabilities and persons with disabilities similar to those of the prospective residents) at least twice
- 2) Drafts of the application were circulated to persons with disabilities (including minority persons with disabilities and persons with disabilities similar to those of the prospective residents) for review prior to submission of the application to HUD;
- 3) Sponsor discussed input received and whether or not it was accepted. If not accepted, the reasons why were provided; and
- 4) Sponsor certifies that it will involve people with disabilities (including minority persons with disabilities and persons with disabilities similar to those of the prospective residents) in the next stages of application processing if selected for funding, as well as in the development and operation of the program.

(VAL)(c) The application contains acceptable evidence of control of an approvable site. **(10 bonus points)**
[See Exhibit 4(e)]

(CPD)(d) The project will be located within the boundaries of a Federally designated Empowerment Zone, Urban Supplemental Empowerment Zone, Enterprise Community, or an Urban Enhanced Enterprise Community. **(5 bonus points)**

ATTACHMENT 10

STANDARD RATING CRITERIA FORM

Draft Letter from the Director of the Multifamily Division to
the Director of the Appropriate State or Local Agency
Requesting Designation of Representative to Review Supportive
Services Plans of Section 811 Applications

Dear _____:

The purpose of this letter is to request your assistance, [once again], in reviewing supportive services plans from applications for funding under the Section 811 Program of Supportive Housing for Persons with Disabilities. This program was authorized by the National Affordable Housing Act of 1990 and provides funding in the form of capital advances to nonprofit organizations (Sponsors) to construct, rehabilitate or acquire (with or without rehabilitation) housing for persons with disabilities. The capital advance does not have to be repaid as long as the housing remains available for very low income persons with disabilities for at least 40 years. Project rental assistance funds are also provided to cover the HUD-approved operating costs of the housing with the exception of the cost of any necessary supportive services for the residents. Residents are required to pay no more than 30 percent of their adjusted incomes for rent.

On May 27, HUD published in the Federal Register a Notice of Fund Availability for the Section 811 Program. A copy is enclosed for your information. Applications for funding are due in HUD Offices no later than 4:00 p.m. on July 25, 1997. Nationwide, HUD has \$ 70,326,091 in capital advance funds available which will facilitate the development of 1,064 housing units for persons with disabilities.

The supportive services plan and the Sponsor's description of its experience in providing housing or related services to the intended population are key parts of a Section 811 application. HUD recognizes that housing without necessary supportive services may not be sufficient to enable many persons with disabilities to live independently in the community. Since HUD cannot pay for supportive services, it will not select an applicant for a Section 811 capital advance unless the provision of supportive services described in the supportive services plan is well designed to serve the needs of the proposed residents and there is evidence that any necessary supportive services will be provided on a consistent, long-term basis to ensure the continued viability of the housing project.

It should be noted, however, that accepting the supportive services that are offered in conjunction with the housing is not a condition of occupancy.

We [again] are requesting your assistance in reviewing applications (with primary emphasis on the supportive services plans) from Sponsors proposing to serve people with (insert disability category) because of your agency's knowledge and expertise in the provision of supportive services to this population. In order to be approved for funding, Sponsors are required by law to have a certification from the "appropriate State or local agency" indicating that the provision of the services identified in the supportive services plan is well designed to meet the special needs of the proposed residents. Enclosed are a copy of the Certification for Provision of Supportive Services (Certification) and an evaluation form designed to assist the reviewer in completing the Certification.

Please note that, in addition to the statutory requirement for a determination as to whether or not the provision of services is well designed, we have included space for the reviewer to indicate whether the proposed facility is consistent/inconsistent with State or local plans and policies governing the development and operation of similar facilities.

For example, if the proposed project will be a group home for four developmentally disabled adults but the State will only provide supportive services funding for three persons in a group home, the reviewer would check the "Inconsistent" box. This additional indication will help assure us that Sponsors who are receiving funding or referrals through a particular agency are proposing a project that is sanctioned by that agency. And, finally, there is space for the reviewer to indicate whether or not the necessary supportive services will be provided on a consistent, long-term basis.

HUD will not review the supportive services plan of Sponsor's applications and, consequently, there will be no points assigned to the plan. Instead, the supportive services plan and the Certification are threshold requirements which means that if the application does not include them and, after being notified by the HUD Office, the Sponsor does not provide the missing information by (insert deadline for submitting missing information), the application is rejected. Furthermore, if the agency completing the Certification indicates any of the following, the application will be rejected:

- 1) the provision of supportive services is **not** well designed to serve the special needs of the proposed occupants;

- 2) the proposed housing facility is **inconsistent** with State or local plans and policies governing the development and operation of housing facilities for the proposed occupants; (if the agency will be a major funding or referral source for or license the proposed project; or
- 3) the necessary supportive services will **not** be provided on a consistent, long-term basis, the application will also be rejected.

Unless we are informed otherwise, we assume that your agency is the appropriate agency to review the supportive services plans of applications from Sponsors proposing to develop housing for persons with (insert disability category) and to complete the Certification and we will be informing applicants interested in submitting a Section 811 application for persons with (insert disability category) that they are to send one copy of their supportive services plan to your agency for review and completion of the Certification.

We are having an orientation workshop for prospective Sponsors (insert information on the date, time and place) and would like you or your representative to attend in order to receive more detailed information on the Section 811 Program and to be available to help answer any questions on the supportive services plan. If you or a representative will be attending, please call this office on (insert telephone number) to confirm.

If your agency is not the appropriate agency for Sponsors proposing to serve (insert disability category) to send a copy of their applications for review of the supportive services plan and completion of the Certification described above, please direct us to the appropriate agency as soon as possible.

Thank you for your time and attention to this important effort. We look forward to hearing from you soon.

Sincerely,

Director

Multifamily Division

Enclosures

Section 811 - Supportive Housing for Persons with Disabilities

SUPPORTIVE SERVICES PLAN
EVALUATION FORM

Appropriate State/Local Agency

Instructions:

This Evaluation Form may be used for review of the Supportive Services Plan (Exhibit 4(c) of the Section 811 Application) to facilitate completion of the Supportive Services Certification (Exhibit 4(d) of the Section 811 Application) by the designated representative for the State/Local Agency which provides funding for services, licenses housing for the population proposed in the Section 811 Application and/or will provide the majority of referrals for the proposed project.

The completed form should be sent to the appropriate HUD Office so that it can remain on file with the Sponsor's application.

Section 811 - Supportive Housing for Persons with Disabilities

EVALUATION FORM

Appropriate State/Local Agency

Sponsor Name/City/ST: _____
Project Address: _____
Project Number: _____

//

Evaluation of the Supportive Services Plan

A. The extent to which the Sponsor has demonstrated that the identified supportive services will be provided on a consistent, long-term basis.

1. Did the Sponsor demonstrate that supportive services will be available on a consistent, long-term basis?

Yes [] No []

If Yes, briefly describe the evidence that the Sponsor provided and indicate whether you think it is sufficient to ensure that the services will be available over a long period of time.

2. If the project will be a group home(s) and receive State funding for some or all of the supportive services, what is the maximum number of persons with disabilities the State will permit (i.e., provide funding for services on behalf of) per home?

—

B. The quality of the services implementation plan.

1. Does the supportive services plan have a clear description of each service, its frequency and location? Briefly describe the services, their frequency and where provided.

2. Does the Sponsor have experience in providing (or ensuring the provision of) the proposed services to the anticipated occupancy and appear to have a good working knowledge of the potential service needs in general for the proposed occupants? Explain.

3. Will there be any residential staff and what will be their function(s)?

4. Is the supportive services plan well thought-out?

5. Did the Sponsor clearly describe how the provision of the proposed services will be managed? Explain.

6. If the Sponsor is also the service provider, is there sufficient staff, both in terms of quantity and experience, to ensure the effective delivery of the proposed services? Briefly describe the number and qualifications of staff proposed.

7. If the Sponsor will not be the service provider, what agency(ies) will provide the services and how will coordination be ensured?

8. If the Sponsor indicates a particular agency will fund or provide some or all of the supportive services, is there a letter of intent from each agency named indicating its willingness to fund or provide the service(s)?

9. For those residents who will be taking responsibility for acquiring their own supportive services, did the Sponsor provide a description of appropriate services in the community from which the residents can choose and did the Sponsor get any commitments from outside service providers that the proposed residents will have access to these services?

(State/Local Agency - cont'd)

Project No. _____

10. Will any supportive services be provided on-site?

Yes ☐ No ☐

If Yes, explain and could they be provided off-site and still benefit the residents?

11. Did the Sponsor provide assurances that the proposed residents will receive supportive services based on their individual needs?

12. Did the Sponsor include a commitment that accepting supportive services will not be a condition of occupancy?

RECOMMENDATION: Application is

☐ Acceptable

☐ Unacceptable

Explain: _____

Print Name of Reviewer: _____

Signature: _____/Date: _____

Name of Agency: _____

Address: _____

Telephone Number: _____